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PATENT APPLICATION SERIAL NO. _____

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
FEE RECORD SHEET

01/29/2004 HGUTEMA1 00000072 10764068

01 FC:1001 .770.00 OP
02 FC:1201 688.00 OP

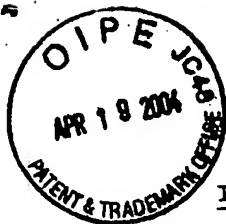
Adjustment date: 05/05/2004 EEKUBAY1
01/29/2004 HGUTEMA1 00000072 10764068
01 FC:1001 -770.00 OP
02 FC:1201 -688.00 OP

05/05/2004 EEKUBAY1 00000018 10764068

01 FC:2001 385.00 OP
02 FC:2201 344.00 OP

Repln. Ref: 05/05/2004 EEKUBAY1 0011241900
DAH:033125 Name/Number:10764068
FC: 9204 \$729.00 CR

PTO-1556
(5/87)



DEPREF
#307

STATUS AND ENTITY
Docket No. 67780/JPW/AJM/MS/CH

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2004 APR 23 PM 3:14

Applicants: Rene Hen et al.
Serial No.: 10/764,068
Filed : January 22, 2004
For : BRAIN PROGENITOR CELL-BASED ASSAY, AND RELATED
METHODS AND COMPOSITIONS

1185 Avenue of the Americas
New York, New York 10036
April 15, 2004

Mail Stop: 16
Director of the US Patent and Trademark Office.
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

**TRANSMITTAL OF VERIFIED STATEMENT
(DECLARATION) CLAIMING SMALL ENTITY STATUS UNDER
37 C.F.R. §1.9(f) AND §1.27(d) AND REQUEST FOR REFUND**

A filing fee of \$1458.00 was originally paid in connection with the filing of the above-identified patent application on January 22, 2004. The corresponding fee for a small entity is \$729.00. The deadline for making a request for refund is three months after the January 22, 2004 filing date, i.e. April 22, 2004. Accordingly, this Transmittal is being timely filed. All rights in the United States under this application are either assigned or licensed to a small entity and this request is being timely made. A refund in the amount of \$729.00 is hereby requested pursuant to 37 C.F.R. §1.28(a) and §1.26. This refund should be credited to Deposit Account No. 03-3125 under Docket No. 67780.

In support of this request for a refund, applicants submit herewith as **Exhibit A**, a Verified Statement (Declaration) Claiming Small Entity Status under 37 C.F.R. §1.9(f) and §1.27(d) signed by Michael J. Cleare, Ph.D. The Verified Statement is signed by an authorized official of the entity who has rights in the subject application, namely, The Trustees of Columbia University in the City of New York.

STATUS AND ENTRY
BRANCH

Applicants: Rene Hen et al.
Serial No: 10/764,068
Filed: January 22, 2004
Page: 2

2004 APR 23 PM 3:14

No fee is deemed necessary in connection with the filing of this Transmittal. However, if any fee is required, authorization is hereby given to charge the amount of such fee to Deposit Account No. 03-3125.

Respectfully submitted,

I hereby certify that this correspondence is being deposited this date with the U.S. Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop: 16, Director of the US Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450.

Alan J. Morrison
Reg. No. 37,399

4/15/07
Date

John P. White
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Applicant or Patentee: Rene Hen, Luca Santarelli and Michael Saxe Attorney's 67780
Serial or Patent No.: 10/764,068 Docket No: JPW/AJM/NS
Filed or Issued: January 22, 2004
Title of Invention or Patent: BRAIN PROGENITOR CELL-BASED ASSAY, AND RELATED ENTITY
METHODS AND COMPOSITIONS BRANCH



2004 APR 23 PM 3:14

VERIFIED STATEMENT (DECLARATION) CLAIMING
SMALL ENTITY STATUS UNDER 37 C.F.R. §1.9(f)
AND §1.27(d) - NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: The Trustees of Columbia University
in the City of New York

Address of Organization: Broadway and West 116th Street
New York, New York 10027

TYPE OF ORGANIZATION:

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and 501(c)(3)
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA

NAME OF STATE: _____

CITATION OF STATUTE: _____

_____ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE 26 U.S.C. §§501(a) and 501(c)(3) IF LOCATED IN THE UNITED STATES OF AMERICA

_____ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA

NAME OF STATE: _____

CITATION OF STATUTE: _____

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 C.F.R. §1.9(e)* for purposes of paying reduced fees under 35 U.S.C. §41(a) and 41(b), with regard to the invention entitled BRAIN PROGENITOR CELL-BASED ASSAY, AND RELATED METHODS AND COMPOSITIONS

by inventor(s) Rene Hen, Luca Santarelli, and Michael Saxe

described in:

- ☐ the specification filed herewith
☒ application serial no. 10/764,068 filed January 22, 2004
☐ patent no. _____ issued _____

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive each individual, concern, or organization known to have rights to the invention is listed below^a and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 C.F.R. §1.9(d)* or a nonprofit organization under 37 C.F.R. 1.9(e)*.

^a NOTE: Separate verified statements are required from each person, concern, or organization having rights to the invention averring to their status as small entities. 37 C.F.R. §1.27.

Name: _____

Nonprofit Organization

STATUS AND ENTITY
BRANCH

2004 APR 23 PM 3:14

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. 37 C.F.R. §1.28(b)*.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. §1001, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Michael J. Cleare, Ph.D.

Title In Organization: Executive Director

Address: Columbia University, Engineering Terrace - Suite 363

Amsterdam Avenue and West 110th Street, New York, New York 10027

Signature: 

Date Of Signature: 4/14/04